

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
12 April 2001 (12.04.2001)

PCT

(10) International Publication Number  
**WO 01/25971 A1**

(51) International Patent Classification<sup>7</sup>: G06F 17/30

(21) International Application Number: PCT/US00/27995

(22) International Filing Date: 10 October 2000 (10.10.2000)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:  
60/158,415 7 October 1999 (07.10.1999) US

(71) Applicant and

(72) Inventor: ZWELL, Michael [US/US]; 215 Broadway Avenue, Wilmette, IL 60091 (US).

(74) Agent: AHN, Harry, K.; Baker & McKenzie, 805 Third Avenue, New York, NY 10022 (US).

DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.

(84) Designated States (regional): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

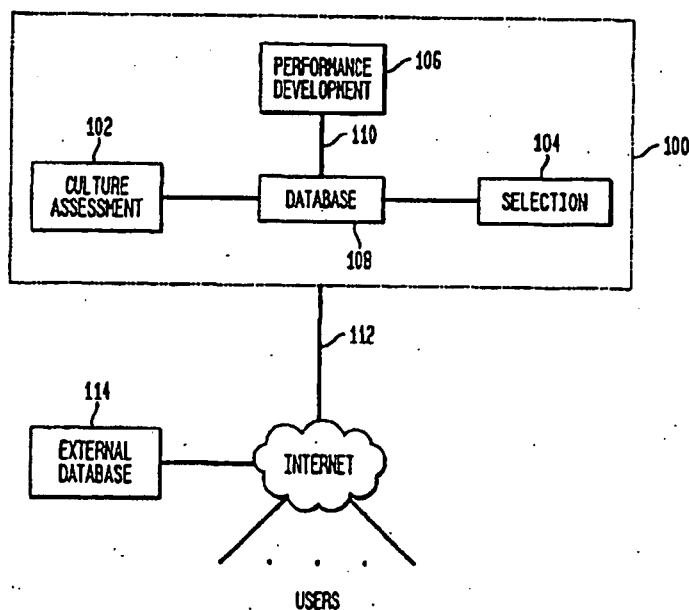
Published:

- With international search report.
- Before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments.

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(81) Designated States (national): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CR, CU, CZ,

(54) Title: SYSTEM AND METHOD FOR HUMAN RESOURCE MANAGEMENT



(57) Abstract: An integrated human resource (HR) management system based on competencies is provided. The integrated HR system includes a competency based selection program (104) that evaluates potential candidates for a job opening, a competency based performance development program (106) that develops, tracks and reports performance goals of employees, and a database (108) storing common job data and competency ratings of employees.

WO 01/25971 A1

## SYSTEM AND METHOD FOR HUMAN RESOURCE MANAGEMENT

### Cross-reference to Related Applications

The present application claims benefit of the filing date of U.S. Provisional Application No. 60/158,415 entitled COMPETENCY BASED HUMAN RESOURCE  
5 MANAGEMENT SYSTEM, filed on October 7, 1999, incorporated by reference herein in its entirety.

### Field of the Invention

The present invention relates to software, and in particular to competency-based human resource management software in a computer network environment.

### 10 Background Information

Businesses and other organizations today recognize the need to increase organizational performance. Leaders know that they need to improve their corporate cultures, improve individual performance, and hire and develop the best possible talent. Global competition is forcing every industry to try to find new market niches, improve  
15 quality, do more with less, increase revenue and profits without increasing prices, and lower costs by increasing efficiencies.

This is a daunting task. Companies and their employees must change continually to meet the challenges of an environment undergoing continual and rapid change. Yet corporate cultures and employees frequently resist change. Managers  
20 desperately need tools, processes, and systems that will facilitate the development of behaviors that maximize organizational success. What are these behaviors? Senior managers today need employees who take initiative, set and achieve challenging goals, work together as a team, focus on serving their customers, commit to quality, are flexible and innovative, and continually improve themselves.

25 These behaviors are many of the "competencies" that determine individual and organizational success. Managers need their corporate cultures to foster these traits. They want to hire people strong in these behavioral competencies, and they want to create an environment of development, that continuously increases their employees' ability to demonstrate these competencies in all aspects of their work.

30 Based on this analysis, it can be appreciated that there is a significant need for a comprehensive, systemized method and system for managing human resources based

on competencies. The present invention provides these and other advantages as will be illustrated by the following description and accompanying figures.

#### Summary of the Invention

- 5 An integrated human resource (HR) management system based on competencies is provided. The integrated HR system includes a competency based selection program that evaluates potential candidates for a job opening, a competency based performance development program that develops, tracks and reports performance goals of employees, and a database storing common job data and competency ratings of  
10 employees.

#### Brief Description of the Drawings

- FIG. 1 is an example of a library or model of competencies grouped by categories.  
FIG. 2 is an example of a set of key behaviors associated with a particular competency.  
15 FIG. 3 is a block diagram of an exemplary embodiment of an integrated competency based human resource management system according to the present invention.  
FIG. 4 is a menu map of a performance development program for the present invention of FIG. 3.  
FIG. 5 is a sample screen shot of a performance management task sheet for the  
20 performance development program of FIG. 4.  
FIG. 6 is a flow diagram of a software routine for adding a performance or competency development goal for the performance development program of FIG. 4.  
FIG. 7 is a flow diagram of a software routine for adding an action step to achieve a goal for the performance development program of FIG. 4.  
25 FIG. 8 is a sample screen shot displaying goal types and requesting the user to select one for the performance development program of FIG. 4.  
FIG. 9 is a sample screen shot displaying key behaviors associated with the Teamwork competency to assist the user in constructing a goal for the performance development program of FIG. 4.  
30 FIG. 10 is a sample screen shot displaying key behaviors associated with the Building Teamwork competency to assist the user in constructing an action step to achieve a goal for the performance development program of FIG. 4.

- FIG. 11 is a sample screen shot displaying action steps related to the user selected key behavior for the performance development program of FIG. 4.
- FIG. 12 is a sample screen shot to assist the user in entering progress data to track the set action steps and goals for the performance development program of FIG. 4.
- 5 FIG. 13 is a sample screen shot to assist the user in rating the employee for key behaviors associated with a competency.
- FIG. 14 is a sample screen shot to assist the user in rating the employee for achievement of a performance goal.
- FIG. 15 is a menu map of a selection program for the present invention of FIG. 3.
- 10 FIG. 16 is a flow diagram of a software routine for scheduling candidates for the selection program of FIG. 15.
- FIG. 17 is a sample screen shot for entering skills to test by the interviewers for the selection program of FIG. 15.
- FIG. 18 is a sample screen shot for entering competencies to test by the interviewers for
- 15 the selection program of FIG. 15.
- FIG. 19 is a sample screen shot of an email sent to an interviewer who is selected to interview a candidate.
- FIG. 20 is a flow diagram of a competency administration routine for assessing competency ratings of an organization for the culture assessment program according to
- 20 the present invention.
- FIG. 21 is a portion of a sample survey form to be completed by employees of an organization.
- FIG. 22 is a sample bar chart comparing an organization's current competencies against competencies of an ideal organization.
- 25 FIG. 23 is a sample bar chart comparing the organization's score on the leadership competency of Developing Others against industry benchmarks.
- FIG. 24 is a sample screen shot for entering promotion related data for use in career planning or succession planning.

30 Detailed Description of the Invention

The methodologies referred to above involve the use of what are known as "competencies" in employee selection, performance assessment, and development.

Competencies are behavioral characteristics causally related to effective or superior individual, team or organizational performance. Examples include initiative, influence, conceptual thinking, teamwork, strategic thinking, customer orientation, and ability to motivate others. One example of a library or model of competencies grouped by categories is shown in FIG. 1. For each competency, there is a set of associated key behaviors, an example of which is shown in FIG. 2. FIG. 2 lists the basic and advanced key behaviors of the "Customer Service Orientation" competency. A detailed discussion on competencies can be found in Competence at Work : Models for Superior Performance, by Lyle M. Spencer, Jr., PhD., Signe Spencer (Contributor) (1993), New York: John Wiley & Sons, which is incorporated herein by reference.

For any given position, it is possible to identify the competencies that will lead to superior performance and success. For example, two of the competencies that lead to success in sales are (1) the ability to influence others; and (2) results orientation. For a CEO, the list of competencies includes: strategic thinking, visionary leadership, and the ability to motivate. Not surprisingly, the more senior and responsible the position, the longer the list of relevant competencies.

Competencies are manifested in behavior and in performance. In job candidates, they can be evaluated accurately through "behavioral interviewing" techniques, while in current employees, they typically can be assessed through observation in normal job interaction.

Since the first published studies in the early 1970's, competencies consistently have proven to be the single best predictor and measure of individual and organizational performance. In studies, companies that identify, select, and train for competencies have been shown to improve productivity by as much as 32% and can also reduce turnover by a factor of 10-30%.

Given the amount and strength of the evidence supporting the effectiveness of competencies, it stands to reason that companies would use this approach to: hire people that are likely to succeed in their positions; and help people across the company develop their capabilities in the specific dimensions known to drive success in their positions.

As shown in FIG. 3, the present invention provides a system 100 containing a fully integrated competency-based human resource management software that includes

a culture assessment program 102, selection program 104 and performance development program 106, which share a database 108 through a link 110. The culture assessment program 102 assesses team or corporate culture and can provide a foundation for the development of a culture change strategy. The selection program 104 automates the process of hiring employees from within the organization or from outside. The performance development program 106 automates the process of developing, tracking and reporting competency development or performance goals of employees including succession planning. These three programs are integrated through the database that share data such as a library of competencies and associated key behaviors, job data of employees, and ratings of competencies of the employees. The system 100 is connected to a computer network such as the Internet through an internet link 112. Accordingly, any user with access to the Internet can use the system 100. The system 100 may also be coupled to an external database 114 containing, for example, competency ratings of industries and of other companies for use in comparing one company to others. Alternatively, the external database can be a part of the database 108.

FIG. 4 illustrates a menu map 200 for the performance development program 106 according to the present invention. After a user logs in and clicks on the performance development program icon (not shown), the program 106 in block 202 displays a performance management task sheet 300 as shown in FIG. 5. In the embodiment shown, the task list sheet 300 is the user's home screen. On this page 300, the user will be able to see any upcoming tasks that should be completed. Referring to FIG. 5, there are two sections, "Personal" and "Employees". The Personal section displays the user's own task information while the Employees section displays the task information of the user's subordinates. While not shown, the Personal section may include others such as other employees being evaluated in a 360 degree process, and team members (of a project, for example). Each section has several columns. The first column shows the user name or the employee's name. The next column shows the start and end dates of the period. There are then hyper-linked columns for each section of performance management, and for the options available to the user.

In the Personal section under the Planning task, the program 106 may display one of 4 tasks: Define Plan, Submit Goals, Acknowledge Changes, and No Task. The

Define Plan task is displayed when the user has not yet started creating goals to prompt the user to begin to write the plan. The Submit Goals task is displayed when the user has goals that are still being revised. The user's task is to complete these goals and submit them to tracking. The Acknowledge Changes task is displayed when the user's  
5 manager has changed one of the user's goals. The No Task task is displayed when there are no tasks to complete.

In the Employee section and under the task of Planning, the program 106 may display one of 4 tasks: Define Plan, Submit Goals, Acknowledge Changes, and No Task. The Define Plan task is displayed when the employee of the user has not yet  
10 started creating goals. The user/employer may create goals for the employee at any time. The Approve Plan task is displayed when the employee user has created goals. The user/employer may approve them. The Review/Approve Changes task is displayed when the employee has changed any goals which the employer previously approved. The employer can see the changes and either accept or reject the changes through this  
15 hyper-linked task box. The No Task task is displayed when there are no tasks to complete.

In the Personal section and under the task of Tracking, the program 106 may display one of 2 tasks: Update Progress and No Task. The Update Progress task is displayed when the user has tracking records to update. The No Task task is displayed  
20 when there are no tasks to complete.

In the Employee section and under the task of Tracking, the program 106 may display one of 2 tasks: Monitor Progress and No Task. The Monitor Progress task is displayed when the user's employee has entered tracking information. The No Task task is displayed when there are no tasks to complete.

25 In the Personal section and under the task of Appraisal, the program 106 may display one of 4 tasks: Complete Appraisal, Submit Appraisal, Sign Off and No Task. The Complete Appraisal task is displayed from the day the appraisal period begins until the user completes and submits his appraisal. The Submit Appraisal task is displayed when all sections of the appraisal have been completed, but not yet submitted. The Sign  
30 Off task is displayed after the user has submitted his appraisal and met with his manager/employer. The No Task task is displayed when there are no tasks to complete.

In the Employee section and under the task of Appraisal, the program 106 may display one of the same 4 tasks as the Personal section plus one additional task of Review Appraisal & Attend Meeting. The Review Appraisal & Attend Meeting task is displayed when the employer and the employee have submitted the appraisal. Once the meeting takes place to discuss the appraisal, the employee needs to enter a date for the meeting.

If the user clicks on the View Details link under the Options section, an overview of all phases of performance management is displayed.

Referring back to FIG. 4, clicking on the task link under Planning, Tracking and Appraisal takes the user, respectively, to Planning Overview 204, Tracking Overview 206, and Assessment Overview 208 boxes which display the current status of the corresponding task. From box 204, the user may select Add/Edit Goal 210 which executes either an "Add Goal" software routine 400 as shown in FIG. 6 or an "Edit Goal" routine (not shown) depending on the user's selection. If the user selects Add/Edit Action Step 212, the program 106 executes either an "Add Action Step" software routine 500 as shown in FIG. 7 or an "Edit Action Step" routine (not shown) depending on the user's selection.

As shown in FIG. 6, the user chooses a goal to be added in step 402. In the present invention, there are two different types of goals: performance objective goals and competency development goals. The performance objective goal is a goal that relates to the accomplishment of the user's job responsibilities. For example, "Sell \$500,000 to new customers" and "Hire two support staff" are performance objective goals. The purpose of the performance objective is to achieve a result. On the other hand, the competency development goal is a goal that relates to developing the competencies that are considered to be important to a specific position. For example, "Become a more effective team member" is a competency development goal based on the "Teamwork" competency. The purpose of the competency development goal is to improve a competency.

If the user selects the performance objective goal, the routine 400 executes step 404 in which the user is requested to enter the goal to be achieved. In step 406, the user inputs such goal related data as "meets" and "exceeds" (definitions of what constitutes meeting and exceeding goals), and if quantifiable, goal quantity and unit of measure.



If in step 402, the user selects the competency development goal, the routine 400 executes step 408 in which the user is requested to choose a competency to be developed or improved in a drop down menu. In step 410, the routine 400 displays the definition of the selected competency, its key behaviors and the rating scale similar to FIG. 2. Step 410 then accesses the database 108 to see whether the user has been rated in the past either through the performance development program 106 or the selection program 104. If the user has past ratings, the routine 400 retrieves all relevant competency data and displays them to the user. The data may include the past user rating, manager's rating and average peer rating of the user. Step 410 then asks the user to input the desired rating of the selected competency.

In the same step 411, to assist the user in generating the most appropriate goal statement, the routine 400 displays a list of goal types (retrieved from the database 108) and requests the user to select one type as shown in FIG. 8. The goal types, for example, may comprise (1) "Improve this competency by focusing on specific key behaviors", (2) "Improve this competency in general", (3) "Improve my rating in this competency to ...", (4) Write my own goal for this competency, and (5) "Write a business goal that will facilitate improvement in this competency".

If the user selects option (1), step 411 (as shown in FIG. 9) displays the key behaviors associated with the selected competency and the ratings of each behavior from the user and his manager, by retrieving them from the database 108. The user is then requested to choose one to four key behaviors from which to construct the goal statement. The routine generates the goal statement based on the user selection. For example, if the user selects the first and fourth behaviors, "Cooperates with other team members" and "Recognizes the efforts of other team members", the suggested goal statement might be "Improve Teamwork by cooperating with other team members and recognizing the efforts of other team members."

If the user selects option (2), the routine 400 at step 411 generates a more general suggested goal statement such as "Improve my ability in Teamwork by working together with others and by helping others to work cooperatively to accomplish objectives". If option (3) is selected, the routine 400 generates a goal statement to Improve Teamwork rating to X" where X is the desired rating the user inputted in step 410. Options (4) and (5) allow the user to type in his own text as the goal statement.

In step 412, once the statement is generated, the routine 400 allows the user the option to change the statement. Once the goal statement (whether modified or not) is submitted, the routine continues with step 406 as discussed above.

In step 414, the user enters the start date, end date and the update frequency. In step 416, the routine 400 allows the user to run through a 5 step "SMART" check to ensure that all the data has been inputted properly and effectively. The 5 steps in SMART are: (1) Specific (the action step is easily understood by others), (2) Measurable (the user knows when he has reached the action step), (3) Achievable & Aligned (the action step is realistic to achieve and can easily be linked to organizational objectives), (4) Results-Oriented (the action step is focused on a specific outcome or result), and Time-Bound (the action step has a beginning and an end). The SMART check steps are displayed and the routine allows the user to change any of the inputted data. When the checks are complete, the routine executes step 418 which submits the plan for approval by the user's manager. The routine 400 can be re-executed for additional goals. In a similar manner, the "Edit Goal" routine (not shown) can be executed to edit any of the data inputted by the user. Although the embodiment shown works with both the performance and competency development goals, the present invention can work with only competency development goals.

Once a goal has been submitted, the user may define one or more specific action steps to accomplish the goal through an "Add Action Step" routine 500 of FIG. 7. In step 502, the user chooses either the performance objective or competency development goal type for which the action step is defined. If the user selects the performance objective goal, the routine 500 executes step 504 in which the user is requested to select a particular performance goal for which the action step is defined. In step 505, the user inputs the action step. In step 506, the user inputs goal quantity and unit of measure such as Units, Dollars, Hours and Percent. For example, the user may input "Make 50 sales calls per week" as the action step, "50" as the quantity and "units" as unit of measure.

If in step 502 the user selects the competency development goal, the routine 500 executes step 510 in which the user is requested to select a particular competency development goal for which the action step is to be defined. In step 512, the routine 500 displays the definition of the selected competency, its key behaviors, and the

associated rating scale similar to FIG. 2. In step 514, the routine 500 displays the key behaviors associated with the selected competency as shown in FIG. 10. Step 514 then accesses the database 108 to see whether the user has been rated in the past either through the performance development program 106 or the selection program 104. If the user has past ratings, the routine 500 retrieves all relevant competency data and displays them to the user. The data may include the past user rating, the manager's rating and/or the average peer rating of the overall competency or the individual key behaviors, if available. If there is no past data, then the routine simply displays that there are no ratings for the selected competency. Step 514 then asks the user to select the key behaviors that the user believes are the most important to improve.

In step 516, the user selects the key behaviors by checking the box next to the displayed key behaviors. As shown in FIG. 11, the routine in step 518 retrieves from the database 108 the set of general action steps and specific action steps for the selected competency. The specific action steps related to the user's selected key behavior are highlighted. In the example shown in FIG. 11, it is assumed that the user has selected the key behavior of "provides input without taking over" in step 516. In FIG. 11, a portion of the list of action steps associated with the competency of "Developing Teamwork" is displayed. Although there are more steps, FIG. 11, as an example only, displays two general action steps associated with the selected competency and one action step associated with the user selected key behavior of "provides input without taking over". As shown, that action step is "Once a week, I will give suggestions to my team, making an effort not to take over the decision making" and is highlighted. Although only one associated action step is shown, there may be more than one action step associated with any one key behavior. Also, (although not shown) the routine displays all other action steps that are associated with key behaviors that are not selected by the user. Step 518 also displays an option of "Choose your own action step" in case the user wishes to write the action step him/herself.

In step 520, the user selects any of the displayed action step by clicking on the associated input box and then the "Next" button. The routine 500 receives the user selection and adds the selected action step into the user's development plan. If the user selection is "Choose your own action step" then the routine allows the user to type in

the action step. Control then passes to step 506 where the user inputs the action step quantity and the unit of measure as discussed above.

4 In step 508, the user inputs the start and end dates for performing the action  
step, and the tracking update frequency. Similar to step 416 of FIG. 6, step 520 allows  
5 the user to run through the 5 step SMART check to ensure that all the data has been  
inputted properly and effectively. When the checks are complete, the routine executes  
step 524 which saves the plan in the database 108. Unlike the performance or  
competency development goals, the action steps associated with the goals are not  
submitted for approval by the manager. The routine 500 can be re-executed for  
10 additional action steps. In a similar manner, the "Edit Action Step" routine (not shown)  
can be executed to edit any of the data inputted by the user.

Referring back to FIG. 4, from the Tracking Overview box 206 the user can  
select the Tracking Record Update box 220 to keep track of the goals and monitor his  
progress towards achieving them. Through a graphical user interface as shown in FIG.  
15 12, the user can enter such data as Actual (amount actually accomplished relative to the  
set target), Comments (in text format) and Status (by choosing from the selection of  
Not Started, On Track, Ahead, Behind, and Finished in a drop-down menu).

The system 100 automatically creates a new tracking record based on the update  
frequency that the user selected for each goal and action step. For example, the user  
20 Mario Sanchez has selected an update frequency of "Weekly" for the Action Step of  
"Make 50 cold calls each week". Based on that data, the system creates one tracking  
record for that Action Step every week on the first day of the week. The tracking  
record shows that the user has entered that 62 calls were made and that he is ahead of  
the target for that week. The last record shown in FIG. 12 has been created by the  
25 system and the user has yet to enter his progress data.

From the Assessment Overview box 208, the user can go to box 222 to enter the  
appraisal process by clicking on "Complete Appraisal" link under the Appraisal task  
box in FIG. 5. The purpose of the appraisal process is to provide the user with feedback  
on performance. The user can use it to assess his own performance, to receive  
30 feedback from his manager, or to receive feedback from anyone in the organization  
through a 360° assessment process. Receiving feedback will help the user in assessing  
his progress on the defined goals, see where he has grown in terms of competencies,

and plan for the next period of time. Managers can use the appraisals to provide employees with feedback, coaching, and support.

5 In box 222, key behaviors are assessed as a first step in evaluating the user. For each competency defined with the Add Goal routine 400, the key behaviors are displayed along with a set of input boxes (4 in the embodiment shown) ranging from 1 to 4 for each key behavior as shown in FIG. 13. The user is then requested to rate the employee (the employee can be the user himself, his peer, manager or the user's employee) based on the scale of 1 to 4 where 1 is "Almost Never", 2 is "Occasionally", 3 is "Often" and 4 is "Almost Always". Based on the key behavior ratings, the  
10 performance development program 106 calculates an overall competency rating. In the embodiment shown, the overall competency rating is calculated by averaging all key behavior ratings with the rating of either 1 or 4 being weighted more heavily than 2 or 3 based on the fact that a typical person tends to give an average score which in this case is either 2 or 3. The average is then normalized to a scale of -2 to 10.

15 Generally, the user has the option of bypassing the key behavior ratings and instead manually enters the competency ratings directly by reviewing the rating scale such as shown in FIG. 2. In one alternative embodiment, the only way to derive the competency ratings is for the user to manually enter the competency ratings without the option of using the key behavior input ratings.

20 Once the score is calculated, the user can go to box 224 where the score is then shown to the user to give him a chance to adjust it. In one embodiment, the calculated score can be adjusted down or up by 1. For example, if the calculated score is 8, it can be adjusted to 7, 8 or 9.

25 In box 226, performance goals are assessed. As shown in FIG. 14, the program 106 displays the performance rating scale, and the quantity completed and tracking status which the user inputted during the tracking stage. The user is then requested to enter the rating and comments based on the displayed data.

30 Aside from entering ratings on the performance and competency development goals, the performance development program 106 can perform additional tasks such as entering assessment comments; selecting developmental competencies to work on in the next period; storing meeting notes and comments after the manager and employee

meet to discuss the assessment results; and editing assessment comments, and adjusting ratings after the meeting.

The performance development program 106 also allows succession and career planning. When managers do performance reviews of employees (typically annually),  
5 they also indicate: whether the employee is a top performer, an average performer, or a weak performer; which quartile of performance the employee falls into; what is the promotion potential of the employee; whether the employee's next position should be a promotion or a lateral move; what positions would be appropriate next career moves for the employee; when the employee is or will be ready for the next promotion or lateral  
10 job move' and what competencies are important for the employee to improve in order to be promotable.

As shown in FIG. 24, as part of the assessment process, the manager of the employee being evaluated enters the following data regarding that employee's promotion potential through the input boxes and drop down menus:

15 (1) the employee's overall performance quality rating from the choices of: "A" performer (outstanding performance), "B" performer (strong, solid contributor), or "C" performer (below the standard), and comments thereon, if any;

(2) specific performance rating from the choices of: top quartile, second  
20 quartile, third quartile, and fourth quartile, and comment thereon, if any;

(3) promotion potential rating ranging from 1 to 5 representing respectively Very High Potential, Promotable, Developing, Improving, and At Risk, and comments thereon, if any;

(4) when the employee is ready for promotion from the choices of:  
25 Immediate, This year, Next year, Distant or N/A (not applicable), and comment thereon, if any;

(5) whether the next step should be a lateral move or promotion from the following choices: lateral move, promotion, either, neither, and comments thereon, if any;

30 (6) competencies to improve to be promotable in order of importance; and

(7) potential next positions.

The "potential next positions" data can be entered by clicking on the Select Potential Next Positions link where the positions can be searched by department, key word, job family, or the like, and added or deleted from the employee's succession planning data.

5 Employees can do his own self-assessments. Through a screen similar to FIG. 24, they enter: career aspirations; what positions would be viable next moves for them; where they would be willing to relocate; whether they are interested in either a promotion or a lateral job move; when they believe they are ready for such a move; what competencies they believe are important for them to improve in order to be  
10 promotable; what technical and functional skills they need to develop in order to be promoted to positions to which they aspire.

When managers do their own self-assessment, in addition to the data in FIG. 24, they also identify one or more potential successors for themselves in their current position, the required number of potential successors to be determined by the  
15 organization. With each selected successor, the manager indicates, in addition to the information under section I. above, how they plan to develop and train the potential successor to take over their position.

As can be appreciated by persons skilled in the art, because all of the data gathered through the evaluation process such as the "potential next positions" data are  
20 stored in the database, 108, it can be a powerful tool for an employee or a manager to search for an internal job opening.

In another aspect of the present invention, the selection program 104 manages and administers a competency based interviewing process for job candidates. The program brings all of the information required to conduct the interview process right to  
25 the desk of hiring managers, staffing managers, and interviewers. This includes a list of the competencies relevant to the job, interview questions for each competency, and rating scales that enable multiple interviewers to rank candidates in a meaningful, uniform and comparable way. The program 104 also gathers feedback on multiple  
30 candidates, generates comparative reports to support the hiring decision, and stores the company's hiring experience in the database 108 so that the interviewing process can be analyzed and improved, and the stored data can be used by the performance

development program 106 as the basis for setting up the performance development plan for the hired employees.

Referring now to FIG. 15, it illustrates a menu map of a selection routine 600 which is a part of the selection program 104. In box 602, the routine 600 displays 3 links representing the 3 software modules for selection by the user. In box 604, which represents a job administration module, the user can create new job folders, add candidates, schedule interviews for the candidates and run reports. If box 604 is selected, the routine 600 displays all existing job folders. In box 606, which represents a candidate administration module, the user can search for a particular candidate or move them from one job folder to another. In box 608, which represents an interviewer task module, the user can enter results of interviews and view reports.

In box 610, a new job folder is created by either copying the job data from an existing job folder and modifying certain fields or by typing the job data manually. The job data comprises (1) job description, (2) reporting structure, (3) competency model, (4) job responsibilities, (5) duties, (6) success factors, (7) characteristics such as work hours and amount of travel, (8) job attractions, (9) skills, knowledge and experience, (10) job requirements, (11) status and costs, and (12) comments. Some data such as competency model and skills requirement may be automatically retrieved by the selection program 104 from the database 108 based on the job description data. To assist the user as much as possible, pull down menus, scrollable windows, helpful instructions and the like are employed throughout the process of creating a job folder. The job description data may include: job title, job family, location, job purpose, division, and department. In box 612, the user may select any of the existing job folder for editing any of the fields.

Once the job folder is set up, the user can set up an interview pool in box 614 which is a list of potential interviewers for a particular job. In one embodiment, the list of names for potential additions to the interview pool can be searched by a combination of the location, department and/or job family. The search result appears in a scrollable window from which the user can select the interviewers to add to the pool. Box 614 also allows for deletion of any interviewer in the pool. In box 616, the user can enter candidate information for a particular job. Examples of typical information entered are



candidate's name, contact data, and status. In box 618, candidates are scheduled for interviews by the interviewers in the pool as more fully described below.

Referring to FIG. 16, a "schedule candidate" routine 700 initially displays a calendar and requests the user to input the round title (such as "first round"), interview  
5 date, and interview type (such as "face-to-face"). In Step 702, the user enters the relevant information and clicks on the "Next" button. Step 704 displays the interviewers that were assigned to the job folder associated with the candidate and requests the user to select the interviewers for this round of interview. In step 706, the routine 700 receives the user's selection of interviewers. In step 708, as shown in FIG.  
10 17, the routine 700 displays the names of the selected interviewers and the skills data that were entered previously for this job folder in box 610. Step 708 then requests the user to assign the skills for interviewers to assess by clicking on the appropriate input boxes. In step 710, the routine 700 receives the user's selection of the skills assignment when the user clicks on the "Next" button. In step 712, as shown in FIG. 18, the routine  
15 700 displays the names of the selected interviewers and the competencies required for the job. Step 712 then requests the user to assign the competencies for interviewers to assess by clicking on the appropriate input boxes. In step 714, the routine 700 receives the user's selection of the competencies assignment when the user clicks on the "Next" button. Optionally, in step 716, the user can attach an electronic résumé of the  
20 candidate by for example specifying a path name of where the résumé is stored.

In step 718, a notice, such as an email, is automatically sent to all interviewers selected as shown in FIG. 19. According to the principles of the present invention, the database 108 stores a set of suggested instructions and questions for each competency which is retrieved for inclusion in the email. In one embodiment, a random and non-  
25 overlapping sub-set of suggested questions and instructions are retrieved so that the interviewers do not ask the same question to the same candidate. The email includes the date and time of the interview and an interview packet (or an hyper-link to the interview packet) containing: candidate information, interview information, job folder information, assigned skill to assess, assigned competencies to assess, suggested  
30 questions and instructions to test for each selected competency, the definition of each selected competency, its rating scale and rating description similar to FIG. 2, and any

other candidate grading instructions. The following is an example of the interview packet (excluding the rating and rating description):

#### Candidate Information

Candidate: Carol Barrett

Current Employer:

Home Phone:

Work Phone:

Cell Phone:

Current Job Family:

Email:

Current Job Title:

Candidate Stage: Interviewing

#### Interview Information

Interview Date: 9/21/1999

Round Number: 1

Interview Type: Face-To-Face

Interview Round: First round

Assigned Skills:

Assigned Competencies:

- Ability to operate non-defensively and function well in Metamorphics culture
- Basic accounting experience
- Software knowledge and experience
- Getting Results
- Integrity and Truth
- Service Orientation

#### Job Folder Information

Job Folder: 59

Department: Administration

Job Title: Office Manager/Asst. to M2

Division: Metamorphics

Hiring Manager: Michael Zwell

Career Pathway:

Staffing Manager: Allison Hegedus

Reports To: Michael Zwell

Competency Model:

Support Staff

Direct Reports: Admin. staff

Dotted Reports:

- Attention to Communication
- Conceptual Thinking
- Concern for Quality
- Continuous Development
- Flexibility
- Getting Results
- Initiative
- Integrity and Truth
- Interpersonal Awareness
- Production Efficiency
- Service Orientation
- Technical Expertise

Dotted Responsibilities:

Please rate the candidate's skills according to the following scale:  
0=None | 2=Minimal | 4=Moderate | 6=Good | 8=Excellent | 10=Exceptional

#### Assigned Skills, Knowledge, and Experience

- \_\_\_ Ability to operate non-defensively and function well in Metamorphics culture
- \_\_\_ Basic accounting experience
- \_\_\_ Software knowledge and experience

#### Other Skills, Knowledge, and Experience

- \_\_\_ A discernible enthusiasm for his/her work
- \_\_\_ Ability to manage in a crisis
- \_\_\_ Capability arranging travel
- \_\_\_ Computer literacy with Word, Excel, and Powerpoint

\_\_\_ Great People Management Skills

5

\_\_\_ Marketing expertise

\_\_\_ Sensitivity to the needs of customers

\_\_\_ The ability, and the willingness, to articulate his/her views on important matters

10

\_\_\_ Type 40 wpm

Assigned Competency: Getting Results

15

Sets challenging goals, tracks progress towards them, solves performance problems, and demonstrates urgency and drive towards achieving them.

Sample Questions:

20

1: Give me an example of a time when you set challenging goals for completing a project, providing a service, or improving upon your performance. What did you do to ensure that your goal was on track?

2: Tell me about a difficult goal you set out to achieve, the barriers you needed to address, and how you did or did not overcome them.

25

3: Give me some examples of times you helped people improve their performance by giving them feedback.

4: Tell me about a time when you addressed an employee's performance problem.

For each behavioral example, focus on:

30

What was the situation? What happened?

What was the candidate's role? What did they do?

What were the results? What was the impact?

What did they say? How did they respond?

35

Comments:

40

Assigned Competency: Integrity and Truth

Gains the trust of others by taking responsibility for own actions and telling the truth

Sample Questions:

45

1: Tell me about a time when it was difficult and important for you to keep information confidential regarding the organization, a co-worker, or a client.

50

2: We have all had times when we have not followed through on a commitment or agreement with a co-worker or a client. Tell me about a time when that has happened to you.

3: Describe a time when you admitted a mistake that had significant unfavorable consequences.

55

4: Tell me about a time when you challenged someone who was not acting with integrity or telling the truth.

For each behavioral example, focus on:

60

What was the situation? What happened?

What was the candidate's role? What did they do?

What were the results? What was the impact?

What did they say? How did they respond?

65

Comments:

70

Assigned Competency: Service Orientation

Commits to satisfying internal and external customers.

Sample Questions:

- 1: Tell me about a time when you acted to resolve the complaints of a customer or client. How quickly and how well were you able to solve the problem?
- 5 2: Give me an example of a time when you received feedback from a customer and used it to improve the quality of your service.
- 3: Have you ever you acted against your own organization's short-term interests to best serve a customer? Tell me about it.
- 10 4: Give me an example that describes how you have served others to your highest vision.
- For each behavioral example, focus on:  
 What was the situation? What happened?  
 What was the candidate's role? What did they do?  
 15 What were the results? What was the impact?  
 What did they say? How did they respond?
- Comments:
- 20
- [Rating scale and rating description omitted]
- 25 Candidate Strengths:
- Candidate Weaknesses:
- 30 Key Concerns:
- 35 ☐ Overall grade for candidate (A+ to F , where A+ is highest)
- Recommendation
- ☐ Hireable - If this is the best candidate, hire (after referencing, etc)
- 40 ☐ Continue to interview - Gather more info
- ☐ Do not hire - even if this is the best candidate.
- 45 Additional Comments, Behavioral Examples:
- 

50 The email should contain all the material that the interviewer needs to conduct the interview. If an electronic résumé was included, it will appear as an attachment to the email. The routine then ends in step 720.

Referring to FIG. 15 and as described above, box 606 represents the candidate administration module. Box 622 allows the user to search for candidates and reassign  
 55 the candidate to another job folder. Box 624 allows for changes to the candidate profile.

Box 608 represents the interviewer task module where user can enter results of interviews and view reports. Box 626 displays all upcoming interviews scheduled for the user. The user can view job information, interview information, candidate

information and interview tips. Through box 628, the interviewer can enter interview results. For the skills rating, the routine 600 displays the assigned and unassigned skills, the rating scale and description, and requests the interviewer to input the ratings for both the assigned and unassigned skills. The skills that were not assigned to the  
5 interviewer are included in case the interviewer gathered sufficient information to rate the candidate. For the competencies rating, the routine 600 displays the assigned and unassigned competencies, the rating scale and description similar to FIG. 2, and requests the interviewer to input the ratings for both the assigned and unassigned competencies. The competencies that were not assigned to the interviewer are included  
10 in case the interviewer gathered sufficient information to rate the candidate based on the rating description.

Box 609 represents the reporting module of the selection program 104. The module can generate and view candidate reports. The report can be generated according to individual candidates (single round summary, all interviews to date, and  
15 comprehensive), and all active candidates for the position (average interview score for each one). Since the data regarding candidates and interviewers' assessments are all stored in the database 108, the routine 600 can also generate customized reports based on various criteria, such as a candidate report based on one selected interviewer, average scores for all successful candidates, or the like. As can be appreciated, the  
20 ability to generate customized reports is very important since they can be used to improve the candidate selection process. For example, various reports can be run to find out whether a particular competency was a good indicator of successful hires.

Since the programs 102-106 are integrated, the data collected from one program is shared among all programs. For example, the competency ratings of a successful  
25 hire may be used by the performance development program 106 to define the initial plan of a new hire.

While not shown in FIG. 15, when the date of the interview has passed, the program 600 is capable of sending a reminder email to the interviewer each day until the interviewer completes the results in box 628. From the reporting module 609, the  
30 user can select a deploy module 632 which is a career/succession planning tool. Based on the job opening data, the deploy module 632 can search for potential internal candidates according to the minimum required competency ratings and/or any data

fields in the database. In other words, the deploy module 632 uses competency assessments and performance evaluations to search for and evaluate potential candidates. The user of the deploy module can be an employee to look for internal job openings or the company itself which can identify employees who may be potential  
5 internal candidates.

The search criteria can be specified to look for employees identified by their managers as potential candidates for the position at the time of the opening; employees who indicated that they thought they were viable candidates for the position at the time of the opening; High potentials within specified job titles and/or job families – such as  
10 accounting, sales, and engineering – who might be considered as candidates; employees who nominate themselves through internal job posting systems.

In a succession planning or other human resource planning process, an organization can perform simulated human resource deployment through the deployment module in which: when an employee is moved to a different position, a  
15 new opening is created in their current position, and, when another employee is moved into their old position, a new opening is created in their old position, and so on; organization charts can be created at any point showing the hypothetical organization structure if those job moves were accomplished; a human resource deployment plan can be submitted and formalized for execution.

20 The following are some examples of the types of reports that can be generated by the deployment module:

A. Showing potential internal candidates for any open position.

B. Showing all the promotion-related information for a specified employee: employee name, title, manager, company start date, etc.; job history  
25 data with a different row for each position within the company; current and past competency assessments and performance evaluations; and manager's and self assessment regarding promotion aspiration and potential.

C. Showing, for a specified position, by six-month periods, when openings are likely to occur.

30 D. Showing, for each manager in a specified group, the potential successors they are developing.

E. Showing all high potentials within a specified group, including: employee name, title, manager, company start date, etc.; length of time in their current position; job history data with a different row for each position within the company; current and past competency assessments and performance evaluations – manager's, self, and multi-rater; manager's and self assessment regarding promotion aspiration and potential.

F. Showing employees by quartile ranking by any company grouping.

G. Showing high-performing, average, and at-risk employees by any company grouping.

H. Organization chart display.

I. Projected openings report.

J. Bench Strength Inventory, showing a job-by-job breakdown of employees in each position, and a summary of their promotability status.

L. Position History, listing employees who have held a specified position, the dates, etc.

Referring to FIG. 3, the culture assessment program 102 is a tool for assessing team or corporate culture and can provide a foundation for the development of a culture change strategy. It can also be used in merger and acquisition situations to provide an assessment of the culture in each organization in order to develop an integration strategy. The culture assessment program 102 is integrated with the other programs 104, 106 so that the same competency model can be used for selection, individual performance development, succession planning and other HR actions.

The program 102 comprises a competency administration module 800 and a reporting module (not shown). The competency administration module 800 collects competency survey from employees and calculates competency ratings. The reporting module generates various reports that graphically display the results.

FIG. 20 illustrates the competency administration module/routine 800. In step 802, the routine 800 displays various job description data fields similar to those of block 610 of FIG. 15, and receives the data from the employee participating in the survey. In step 806, the routine 800 displays a survey form containing a series of statements such as partially shown in FIG. 21. In step 806, the employee participant is asked to select which statement most accurately describes the organization and the

statement that is second most descriptive (in the embodiment shown, culture is analyzed in zero-sum (ipsative) terms: the sum total of competency strengths and weaknesses equals zero). For example, in box 1 of FIG. 21, the employee may choose the first statement of "Quickly identify key or underlying issues" as the most accurate description by checking the first box, and choose the third statement as the second most accurate by checking the second box. For each box with 3 statements, the employee can check only one box under the 1st and one box under the 2nd.

Each statement relates to a specific competency. Specifically, each statement is reflective of a key behavior associated with one specific competency. Each of the 3 statements in one box represent different competencies. Thus, in any box, one competency is compared to two other competencies. Some statements involve the employees and some involve the managers. In step 806, the routine 800 receives user selection of checked boxes and in step 808, the received user selections are saved.

In step 810, the routine 800 displays the same survey form of FIG. 21 with 3 statements in each box. This time, the employee is then asked to select the most accurate and the second most accurate statements that best describe an "ideal" organization rather than the employee's current organization. Again, this is done by checking the first box for the most accurate statement, and by checking the second box for the second most accurate statement. Step 810 receives the user selection and in step 812, the survey data of the ideal company are saved. In step 814, the saved data in steps 808 and 814 are analyzed and ratings for all competencies surveyed are calculated. In one embodiment, the routine 800 assigns a value of +1 for the 1st box, 0 for the 2nd box, and a -1 for the unchecked box. The assigned numbers are added for all employee participants and then normalized to a scale ranging from -10 to +10. In step 814, the calculated ratings for both the real organization and the ideal organization are stored in the database 108. Once the ratings data are stored, the routine ends at step 818.

The reporting module of the culture assessment program 102 generates reports that describe the competency strengths and weakness of the culture. The module also generates various indices such as CGI - culture gap index: average gap between real and ideal (per competency); CAI - cultural alignment index: average gap between non-managers and managers; CCI - cultural consistency index: average of the standard deviations for each competency; CLSI - cultural location similarity index: average.



standard deviation among locations per competency; and CDSI – cultural departmental similarity index: average standard deviation among locations per department.

The reporting module generates a number of predetermined as well as customized graphical and tabular reports. Types of reports available include: summary report – basic user data and comparison bar charts; standard report – everything that is in the summary report with the addition of gap analysis, normative comparisons and indices; and comprehensive report – standard report plus indexes, summary reports based on region, division, job function and various lines of management, analysis and commentary and recommendations.

As examples of graphical reports, FIG. 22 shows a bar chart comparing an organization's current competencies against competencies of an ideal organization. FIG. 22 shows, for example, that the competency of Interpersonal Sensitivity for the current organization is about +8.5 while that of an ideal organization is about -6.5, meaning that the employees do not think it is too relevant for the organization. FIG. 23 shows a bar chart comparing the organization's scores on each leadership competency (example of Developing Others) against industry benchmarks. Industry data on competencies are retrieved from the external database 114. FIG. 23 shows, for example, that the competency of Developing Others for the current organization is about -0.5 while the industry average for that competency is -3.34.

Since the culture assessment program 102 is integrated with other programs, results of the survey, any derived competency ratings and the like can be used with the performance development program 106 both to analyze and plan development of individual and organizational competencies. The same data can also be used by the selection program 104 to help the organization hire managers and employees who are strong in the competencies in which the organization most needs improvement.

From the foregoing, it will be appreciated that, although specific embodiments of the invention have been described herein for purposes of illustration, various modifications may be made without deviating from the spirit and scope of the invention. For example, while the embodiment disclosed illustrates the present invention in an Internet environment, persons of ordinary skill in the art will appreciate that the system can be implemented in any computer network environment including

the Intranet, LAN, WAN or the like. Accordingly, the present invention is not limited except as by the appended claims.

What is claimed is:

1. A competency-based human resource management system for use in a computer network environment, comprising:
  - a selection program operable to use ratings of competencies for use in hiring employees;
  - a performance development program operable to use ratings of competencies to develop and track goals of the employees; and
  - a database storing ratings of competencies for the employees for use by the selection and performance development programs.
2. A competency-based performance development system for use in a computer network environment, comprising:
  - a planning module operable to receive target ratings of competencies and associated action steps for an employee;
  - a tracking module operable to track achievement of the target ratings of competencies and the associated action steps; and
  - an assessment module operable to assess the performance of the employee in reaching the target ratings of competencies and the associated action steps.
3. An employee selection system for use in a computer network environment, comprising:
  - a job definition planning module operable to create a job record having one or more competencies associated with the job; and
  - a job administration module operable to generate a plurality of suggested interview questions for each competency associated with the job for use by an interviewer.

1/24

FIG. 1

## COMPETENCY LIBRARY

TASK ACHIEVEMENT

1. RESULTS ORIENTATION
2. MANAGING PERFORMANCE
3. INITIATIVE
4. INFLUENCE
5. CONCERN FOR QUALITY
6. PRODUCTION EFFICIENCY
7. FLEXIBILITY
8. INNOVATION
9. PROCESS MANAGEMENT
10. TECHNICAL EXPERTISE
11. CONTINUOUS DEVELOPMENT

RELATIONSHIP

1. ATTENTION TO COMMUNICATION
2. CONFLICT RESOLUTION
3. CROSS-CULTURAL SENSITIVITY
4. INTERPERSONAL AWARENESS
5. CUSTOMER SERVICE ORIENTATION
6. POLITICAL SENSITIVITY
7. RELATIONSHIP BUILDING
8. TEAMWORK
9. MANAGING AUTHORITY ISSUES

ATTRIBUTE

1. SELF ESTEEM
2. PERSONAL CREDIBILITY
3. CONTINUOUS DEVELOPMENT
4. SELF DEVELOPMENT
5. DECISIVENESS
6. STRESS MANAGEMENT
7. CONCEPTUAL THINKING
8. ANALYTICAL THINKING
9. DECISION QUALITY
10. ORAL COMMUNICATION

MANAGING

1. MOTIVATING OTHERS
2. EMPOWERING OTHERS
3. DEVELOPING OTHERS
4. BUILDING TEAMWORK

LEADING

1. VISIONARY LEADERSHIP
2. STRATEGIC THINKING
3. PURPOSE, PRINCIPLES & VALUES
4. ENTREPRENEURIAL ORIENTATION
5. CHANGE MANAGEMENT
6. BUILDING ORGANIZATIONAL COMMITMENT
7. ESTABLISHING FOCUS

2/24

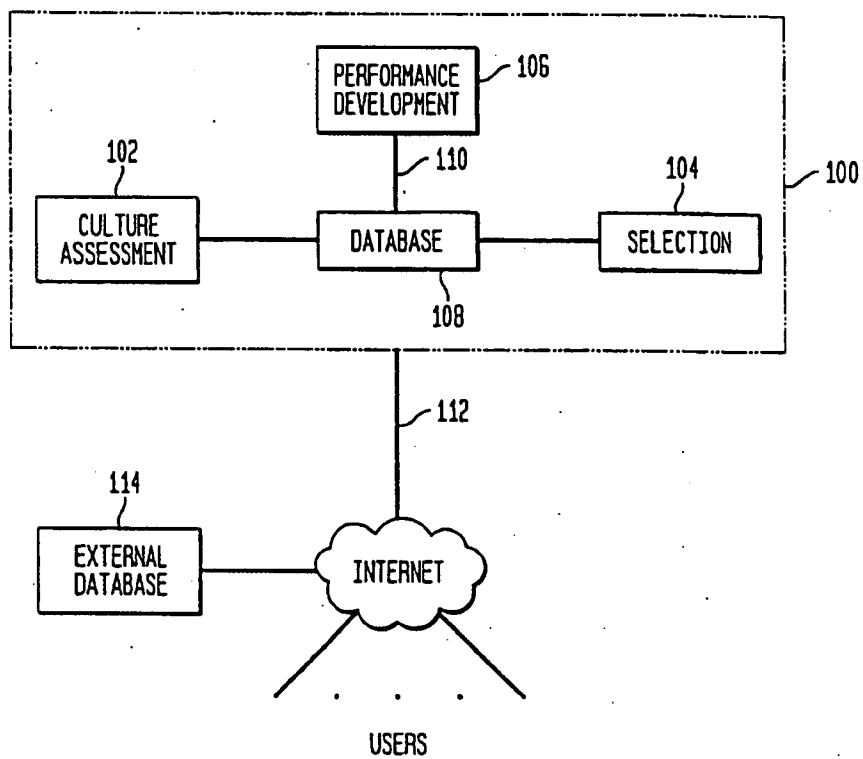
FIG. 2

CUSTOMER SERVICE ORIENTATION - DEMONSTRATES COMMITMENT TO SATISFY  
INTERNAL AND EXTERNAL CUSTOMERS

KEY BEHAVIORS	
BASIC	<p>PROVIDES AT LEAST THE MINIMUM REQUIRED SERVICE.</p> <p>ACTS TO RESOLVE CUSTOMERS' COMPLAINTS AND KEEP THEM FROM BEING DISATISFIED.</p> <p>EFFICIENTLY SOLVES MOST CUSTOMER PROBLEMS.</p> <p>RESPONDS TO MOST CUSTOMER REQUESTS IN A TIMELY, PROFESSIONAL MANNER.</p>
ADVANCED	<p>ELICITS FEEDBACK FROM CUSTOMERS TO IDENTIFY THEIR NEEDS AND MONITOR THEIR SATISFACTION.</p> <p>EFFICIENTLY SOLVES EVEN THE MOST DIFFICULT OF CUSTOMER PROBLEMS.</p> <p>COMMITTS FULLY TO CUSTOMERS' LONG-TERM BEST INTERESTS, WHETHER OF BENEFIT TO SELF OR NOT.</p> <p>CONSISTENTLY DEMONSTRATES DEDICATION TO SATISFYING CUSTOMERS IN BOTH WORDS AND ACTIONS.</p> <p>IS WILLING TO PUT SELF AT RISK OR CONSIDERABLE INCONVENIENCE TO SERVE CUSTOMERS' LONG-TERM INTERESTS.</p>
COMPETENCY RATING SCALE	
-2 DETRIMENTAL	ACTS IN WAYS THAT INTERFERE WITH SATISFYING CUSTOMERS' WANTS AND NEEDS.
0 ABSENT	IS APATHETIC ABOUT OR INEFFECTIVE AT SATISFYING CUSTOMERS' WANTS AND NEEDS.
2 SLIGHTLY EFFECTIVE	OCCASIONALLY PROVIDES AT LEAST THE MINIMUM REQUIRED SERVICE, ACTS TO RESOLVE CUSTOMERS' COMPLAINTS, AND RESPONDS TO MOST CUSTOMER REQUESTS IN A TIMELY, PROFESSIONAL MANNER.
4 MODERATELY EFFECTIVE	OFTEN PROVIDES AT LEAST TH MINIMUM REQUIRED SERVICE, ACTS TO RESOLVE CUSTOMERS' COMPLAINTS, AND RESPONDS TO MOST CUSTOMER REQUEST IN A TIMELY, PROFESSIONAL MANNER.
6 PROFICIENT	IN MANY SITUATIONS, ELICITS FEEDBACK FROM CUSTOMERS TO IDENTIFY THEIR NEEDS AND MONITOR THEIR SATISFACTION, EFFICIENTLY SOLVES EVEN THE MOST DIFFICULT OF CUSTOMER PROBLEMS, DEMONSTRATES DEDICATION TO SATISFYING CUSTOMERS IN BOTH WORDS AND ACTIONS, AND IS WILLING TO PUT SELF AT RISK TO SERVE CUSTOMERS' LONG-TERM INTERESTS.
8 EXCELLENT	IN EVEN THE MOST COMPLEX OF SITUATIONS, ELICITS FEEDBACK FROM CUSTOMERS TO IDENTIFY THEIR NEEDS AND MONITOR THEIR SATISFACTION, EFFICIENTLY SOLVES EVEN THE MOST DIFFICULT OF CUSTOMER PROBLEMS, CONSISTENTLY DEMONSTRATES DEDICATION TO SATISFYING CUSTOMERS IN WORDS AND ACTIONS, AND PUTS SELF AT RISK TO SERVE CUSTOMERS' LONG-TERM INTERESTS.
10 LEADERSHIP	MODELS, LEADS, AND MOTIVATES MULTIPLE LEVELS OF PERSONNEL TO BE CUSTOMER FOCUSED.

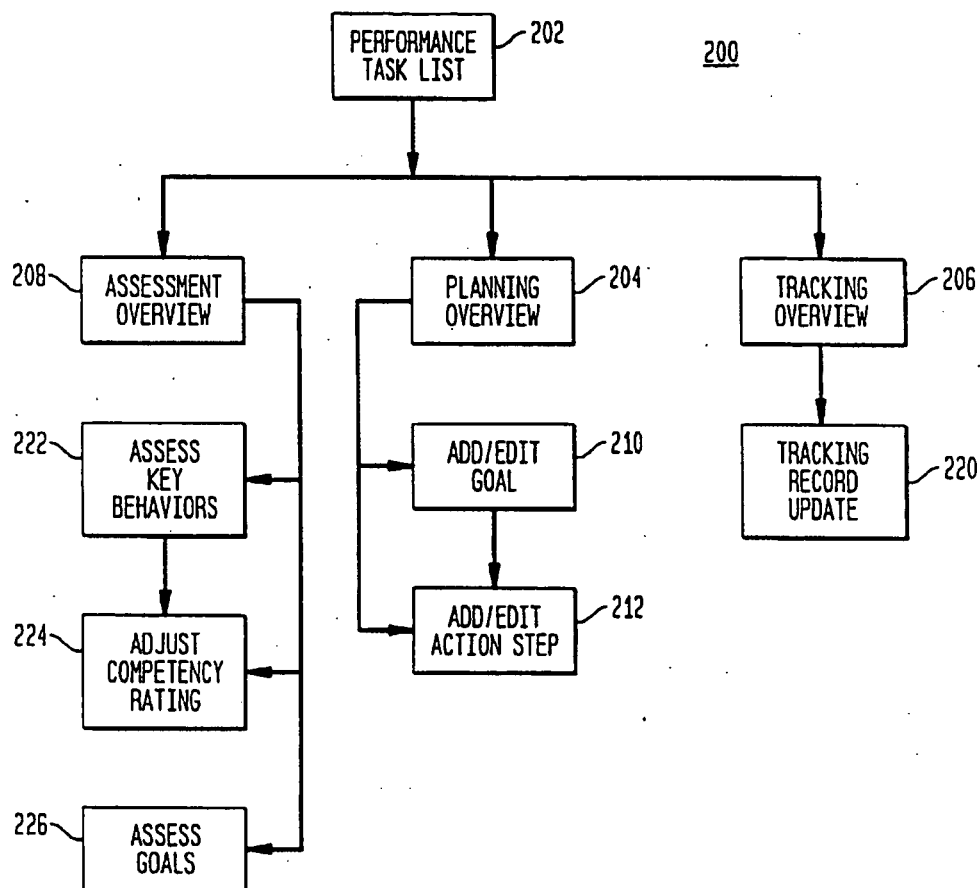
3/24

FIG. 3



4/24

FIG. 4



5/24

FIG. 5

**PERFORMANCE MANAGEMENT TASK SHEETS**  
Welcome, George Bolim. Please check your task sheets below.

**PERSONAL**

Name	Period	Planning	Tracking	Appraisal	Options
George Bolim	7/1/00 to 6/30/01	<a href="#">Online Plan</a>	<a href="#">Update Progress</a>	<a href="#">Log Task</a>	<a href="#">View Details</a>

**EMPLOYEES**

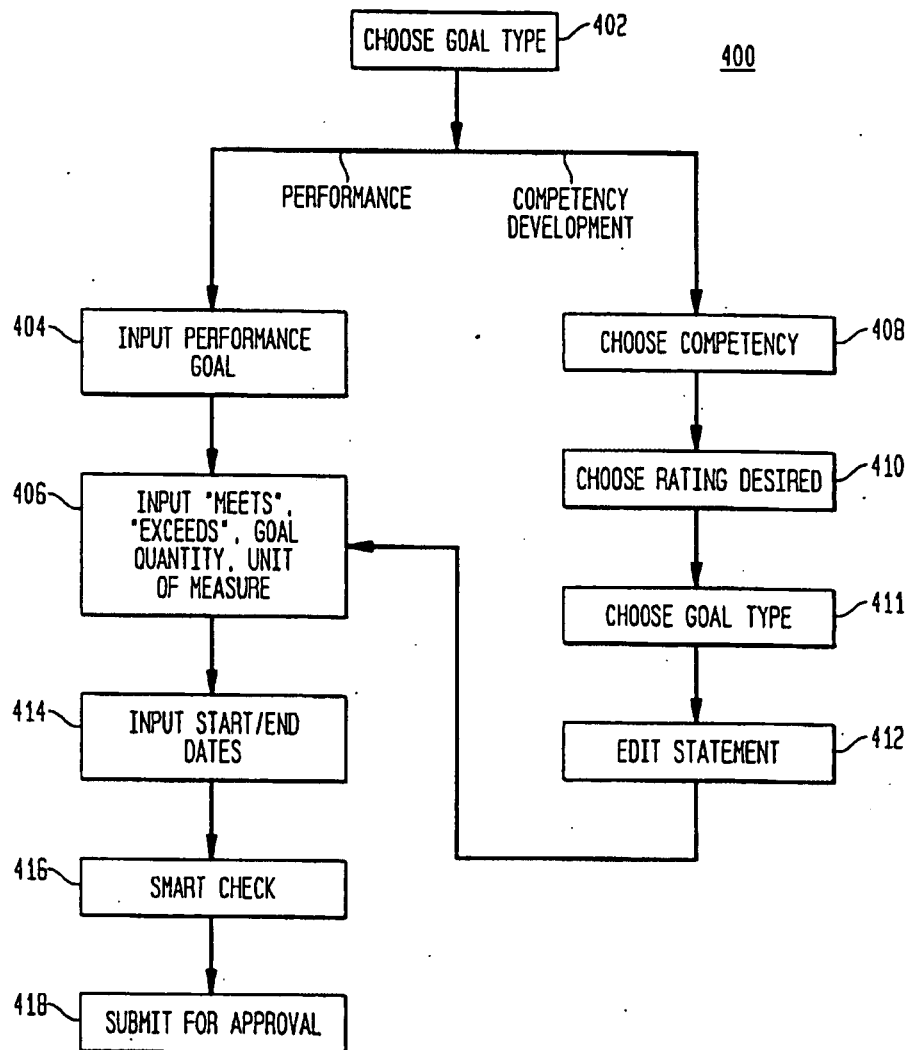
Name	Period	Planning	Tracking	Appraisal	Options
Todd Carter	7/1/00 to 6/30/01	<a href="#">Review/Approve Changes</a>	<a href="#">Monitor Progress</a>	<a href="#">Log Task</a>	<a href="#">View Details</a>

[Back to Top](#) [Back to Home](#)



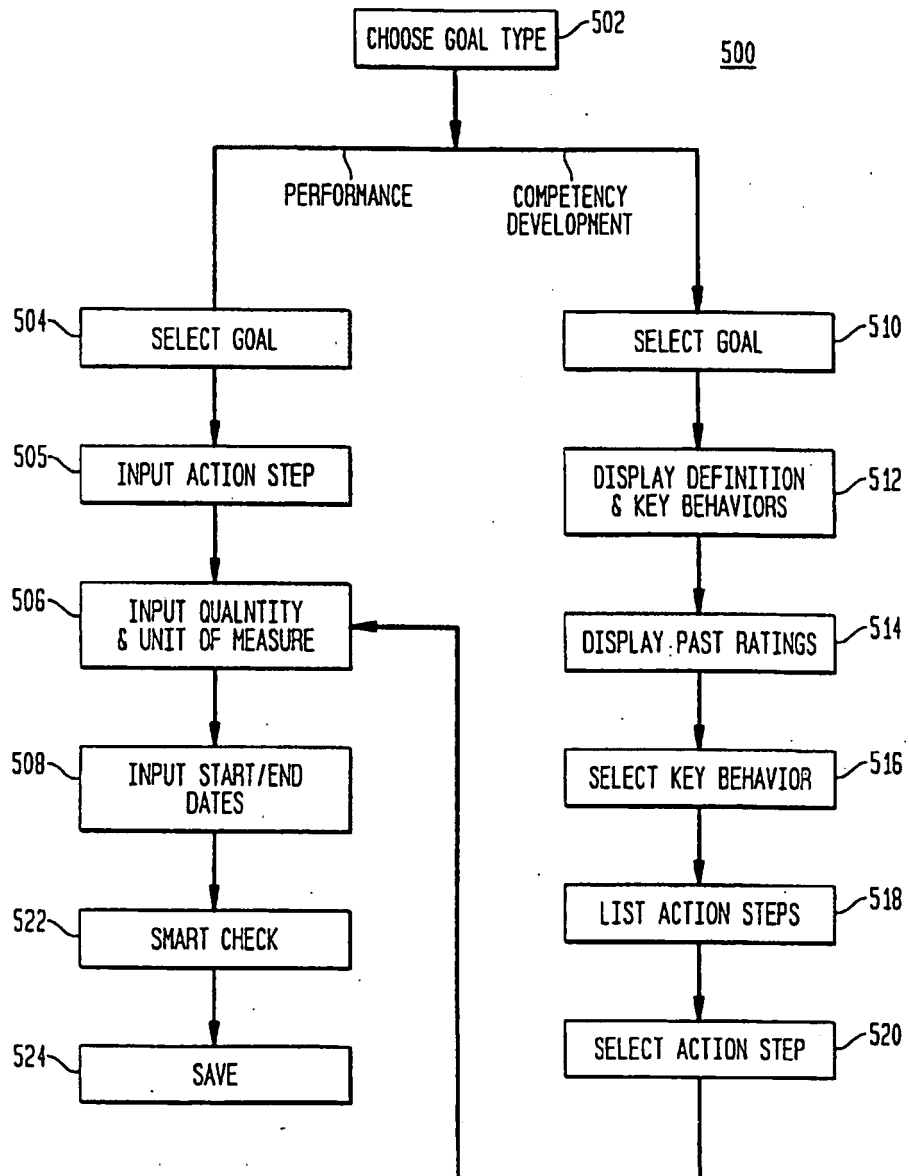
6/24

FIG. 6



7/24

FIG. 7



8/24

FIG. 8



## PERFORMANCE PLANNING: GOAL WIZARD

## STEP 7: SELECTING THE COMPETENCY GOAL TYPE FOR TEAMWORK

THERE ARE FIVE TYPES OF GOALS FROM WHICH TO CHOOSE. SELECT THE COMPETENCY DEVELOPMENT GOAL TYPE WHICH MOST APPLIES TO YOU.

☐ SHOW DETAILED INSTRUCTIONS

FOCUS AREA: TEAMWORK

## GOAL TYPE:

- ☒ IMPROVE THIS COMPETENCY BY FOCUSING ON SPECIFIC KEY BEHAVIORS
- ☐ IMPROVE THIS COMPETENCY IN GENERAL
- ☐ IMPROVE MY RATING IN THIS COMPETENCY TO...
- ☐ WRITE MY OWN GOAL FOR THIS COMPETENCY
- ☐ WRITE A BUSINESS GOAL THAT WILL FACILITATE IMPROVEMENT IN THIS COMPETENCY

CONTINUE ON TO THE NEXT SCREEN:

GO BACK TO THE PREVIOUS SCREEN:

EXIT WIZARD AND CONTINUE TO GOAL SUMMARY (TRANSFER INFORMATION):

CANCEL OUT OF WIZARD (NO INFORMATION WILL BE SAVED):

9/24  
FIG. 9



PERFORMANCE PLANNING: GOAL WIZARD

STEP 8: KEY BEHAVIORS FOR TEAMWORK

FOLLOWING ARE THE KEY BEHAVIORS FOR TEAMWORK, AS WELL AS YOUR RATINGS ON THESE KEY BEHAVIORS (IF AVAILABLE). CHOOSE ONE TO FOUR KEY BEHAVIORS FROM WHICH TO CONSTRUCT YOUR GOAL.

FOCUS AREA: TEAMWORK

IMPROVE KEY BEHAVIOR

	EMPLOYEE RATING	MANAGER RATING
<input checked="" type="checkbox"/> COOPERATES WITH OTHER TEAM MEMBERS	4	4
<input type="checkbox"/> FULFILLS COMMITMENTS TO OTHER TEAM MEMBERS	3	4
<input type="checkbox"/> AFFIRMS OTHERS FOR BEING GOOD TEAM MEMBERS	4	4
<input checked="" type="checkbox"/> RECOGNIZES THE EFFORTS OF OTHER TEAM MEMBERS	4	4
<input type="checkbox"/> BUILDS A SPIRIT OF UNITY WITHIN THE TEAM	3	3
<input type="checkbox"/> BUILDS COOPERATION BETWEEN DEPARTMENTS AND WORK GROUPS	2	3
<input type="checkbox"/> PROVIDES OTHERS WITH FEEDBACK TO HELP THEM BE BETTER TEAM MEMBERS	2	2
<input type="checkbox"/> UNDERSTANDS AND UTILIZES GROUP PROCESS TECHNIQUES TO MAXIMIZE PARTICIPATION AND EFFECTIVE GROUP FUNCTIONING	3	2

YOUR RATINGS ON THESE KEY BEHAVIORS APPEAR TO THE RIGHT OF THE KEY BEHAVIORS.

CONTINUE ON TO THE NEXT SCREEN: NEXT >>


GO BACK TO THE PREVIOUS SCREEN: << BACK

EXIT WIZARD AND CONTINUE TO GOAL SUMMARY (TRANSFER INFORMATION): EXIT & SAVE

CANCEL OUT OF WIZARD (NO INFORMATION WILL BE SAVED): CANCEL


10/24

FIG. 10

	PERFORMANCE PLANNING: ACTION STEP WIZARD
STEP 2: KEY BEHAVIORS ANALYSIS FOR BUILDING TEAMWORK	
CHOOSE THE KEY BEHAVIORS THAT YOU THINK ARE MOST IMPORTANT FOR YOU TO IMPROVE. YOUR RATINGS ON THE KEY BEHAVIOR APPEAR TO THE RIGHT OF THE KEY BEHAVIOR.	
<hr/>	
FOCUS AREA: MY TEAM IS HAVING MORALE PROBLEMS	
<hr/>	
IMPROVE KEY BEHAVIOR	
<input checked="" type="checkbox"/> ENCOURAGES OTHERS TO WORK AS A TEAM	
<input type="checkbox"/> ESTABLISHES DIRECTION FOR PROJECTS AND ASSIGNMENTS FOR TEAM MEMBERS	
<input type="checkbox"/> ASSISTS GROUP MEMBERS IN UNDERSTANDING ROLES AND RESPONSIBILITIES	
<input type="checkbox"/> PROVIDES INPUT WITHOUT TAKING OVER	
<input type="checkbox"/> ASSISTS THE GROUP IN EFFECTIVELY USING INDIVIDUALS' AND CONTRIBUTIONS	
<input type="checkbox"/> PROVIDES GUIDANCE WHEN THE TEAM IS OFF TRACK	
<input checked="" type="checkbox"/> HELPS REMOVE ORGANIZATIONAL BARRIERS AND IDENTIFIES RESOURCES TO ASSIST THE TEAM	
<input checked="" type="checkbox"/> CHAMPIONS THE TEAM WITHIN THE ORGANIZATION	
YOU HAVE NOT YET BEEN RATED ON THIS COMPETENCY.	

11/24

FIG. 11

 PERFORMANCE PLANNING: ACTION STEP WIZARD

STEP 3: SELECT OR CREATE AN ACTION STEP.

CLICK ON ACTION STEPS THAT YOU WOULD LIKE TO DROP INTO YOUR PLAN.

BB SHOW DETAILED INSTRUCTIONS

GOAL TEXT: IMPROVE BUILDING TEAMWORK BY ENCOURAGING OTHERS TO WORK AS A TEAM, HELPING REMOVE ORGANIZATIONAL BARRIERS AND IDENTIFIES RESOURCES TO ASSIST THE TEAM, AND CHAMPIONING THE TEAM WITHIN THE ORGANIZATION

GENERAL ACTION STEPS:

☐ I WILL ASK MY MANAGER, MY PEERS, AND SUBORDINATES TO DESCRIBE MY STRENGTHS AND WEAKNESSES REGARDING BUILDING TEAMWORK.

☐ I WILL KEEP A LOG OF ACTIONS AND IDEAS THAT BUILD TEAMWORK.

KEY BEHAVIOR PROVIDES INPUT WITHOUT TAKING OVER

☐ ONCE A WEEK, I WILL GIVE SUGGESTIONS TO MY TEAM MAKING AN EFFORT NOT TO TAKE OVER THE DECISION MAKING

☐ CHOOSE YOUR OWN ACTION STEP.

CONTINUE ON TO THE NEXT SCREEN:

12/24

FIG. 12

OVERVIEW		PLANNING		TRACKING		APPRAISAL	
<b>Tracking Information</b>							
Employee Name:		Mario Sanchez		Tracking Period Start Date:		7/1/99	
Manager Name:		Mary Barton		Tracking Period End Date:		12/31/99	
				Tracking Status:		In Progress	
Edit Current Tracking Data for All Goals							
<input type="checkbox"/> Goal: Sell \$500,000 in product sales Timeframe: 7/1/99 to 12/31/99. Update Period 11/1/99 to 11/30/99							
Target:	Actual:	Status:	Comments:				
\$500,000 Dollars	\$25,000	Ahead	Made a lot more sales than I expected in November				
<input type="checkbox"/> Action Step: Make 50 cold phone calls each week Update Period 11/1/99 to 11/8/99							
Target:	Actual:	Status:	Comments:				
50 Units	62	Ahead	Had a great calling day on Monday.				
<input type="checkbox"/> Goal: Become a more effective team member Timeframe: 7/1/99 to 12/31/99. Update Period 11/1/99 to 11/30/99							
Target:	Actual:	Status:	Comments:				
6 Rating	5	Behind	I need to give other team members more feedback.				
<input checked="" type="checkbox"/> Action Step: Provide other members with feedback on their performance at least three times per week Update Period 11/1/99 to 11/2/99							
Target:	Actual:	Status:	Comments:				
2 Units	1	Behind					
<input type="checkbox"/> Action Step: Move at least two team members rate up monthly on teamwork scale Update Period 11/1/99 to 11/30/99							
Target:	Actual:	Status:	Comments:				
2 Units		Not Started					
Save all change to tracking data <input type="button" value="Save All"/>							
Return to previous screen (Cancel) any changes! <input type="button" value="Cancel"/>							

Back to Top

13/24

FIG. 13

http://www.comcast.com/online/performance/assess/competency.asp?userID=2084Token=01855Am/1-B/crystal/1...

File Edit View Favorite Tools Help

### Enter Competency Rating

Competency: Influence

Competency Definition: Effectively impacts organizations, persuades, and gains the support of others.

---

Please rate how often the employee performs the following key Behaviors.  
(1=Almost Never, 2=Occasionally, 3=Often, 4=Almost Always)

<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5	Presents one's point of view in a way that enlists others' support
<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5	Demonstrates how one's position benefits the audience
<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5	Elicits and responds to objections
<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5	Develops and presents persuasive arguments to address the concerns, wants, and needs of others
<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5	Anticipates reactions and objections and plans how to overcome them
<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5	Uses new information or approaches to overcome major resistance or objections
<input type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5	Identifies key decision-makers and the people that influence them
<input checked="" type="radio"/> 1	<input type="radio"/> 2	<input type="radio"/> 3	<input type="radio"/> 4	<input type="radio"/> 5	Builds alliances and enlists third party support and outside resources



14/24

FIG. 14

http://www.compsite.com/desktop/performance/assessment.asp?filterID=26&token=105106 outstarethe-microsoft[...]

File Edit View Favorites Tools Help

Rating Scale for Goals:

10	Far exceeded the goal
8	Exceeded the goal
6	Met the goal
4	Came close to meeting the goal
2	Made some progress toward meeting the goal
0	Made no progress toward meeting the goal
-2	Further from the goal than when tracking began

You may enter your Rating for this Goal below.

Actual Quantity Complete:  Dollars

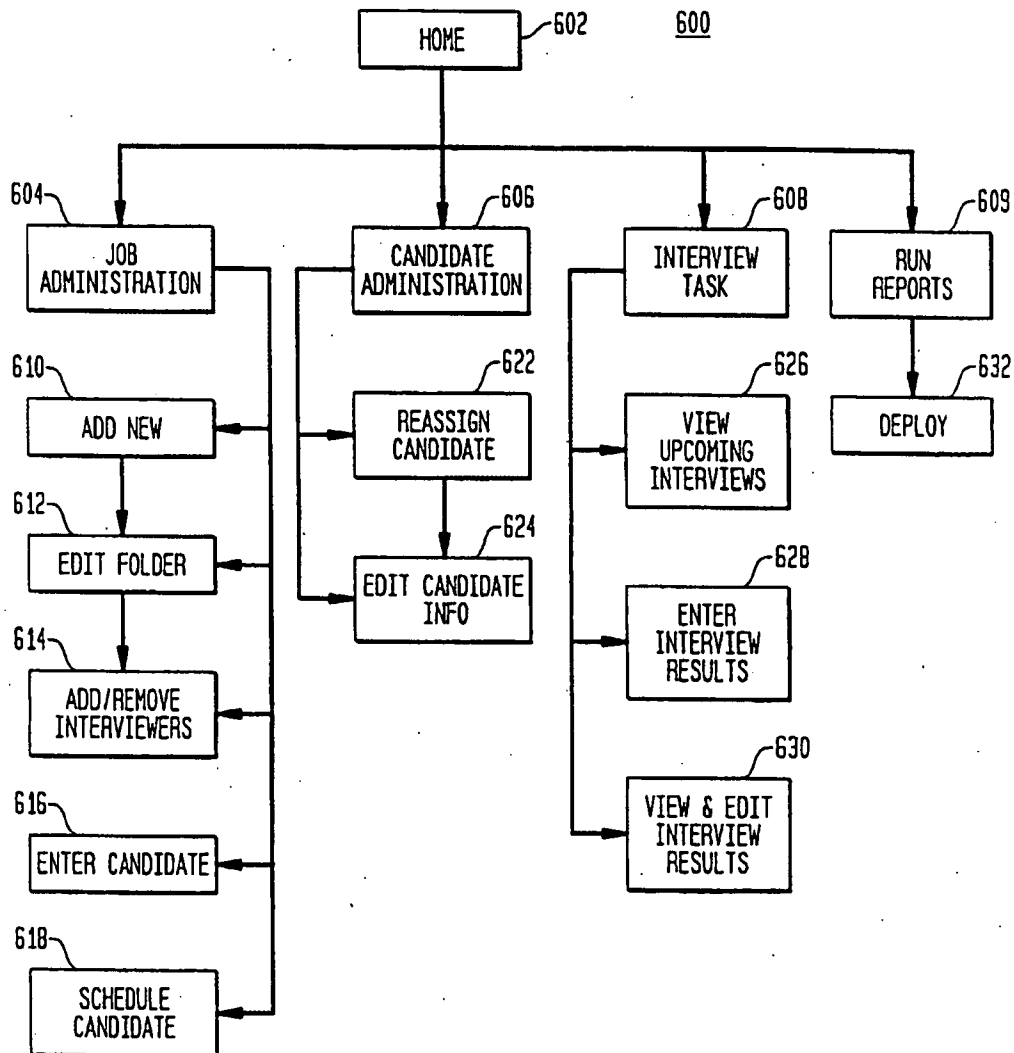
Actual Tracking Status:  ▾

Rating:  ▾

Comments:

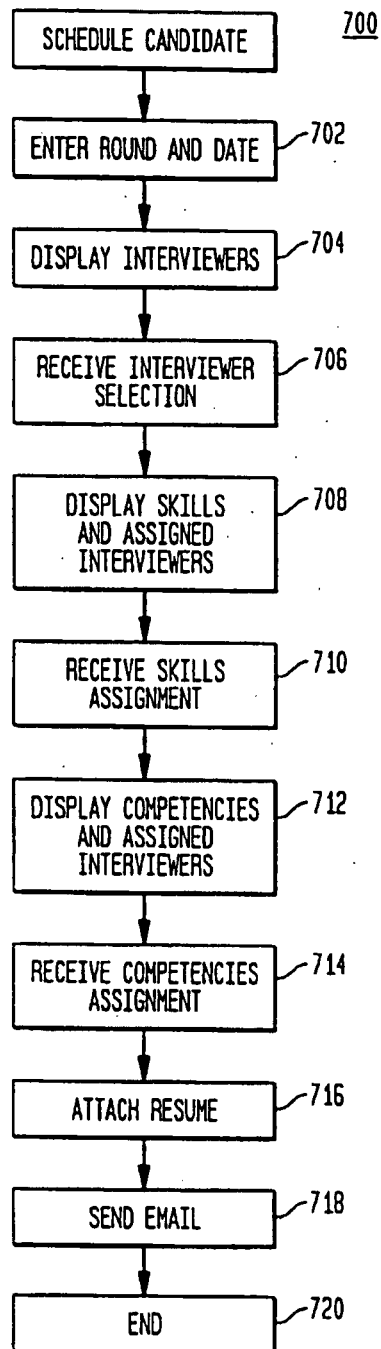
15/24

FIG. 15



16/24

FIG. 16



17/24

FIG. 17

REV JOB FOLDER-Schedule Candidate-microsoft Internet Explorer

File Edit View Favorites Tools Help

Hiring Manager: Diane Brown  
Staffing Manager: Tom

**Schedule Candidate for an Interview**

You can assign skills for interviewers to assess. Click next to each skill under the interviewer who should evaluate the skill. You can assign the same skill to more than one interviewer, and you do not have to assign every skill.

Skills, Knowledge, and Experience	Jeff	Tom
Corporate tax experience	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Expatiate experience	<input type="checkbox"/>	<input type="checkbox"/>
International tax experience	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Project management skills	<input type="checkbox"/>	<input type="checkbox"/>

[Technical Expert](#)

[NEXT >>](#)

Done Internet

18/24

FIG. 18

NEW JOB FOLDER-Schedule Candidate-Microsoft Internet Explorer

File Edit View Favorites Tools Help

Hiring Manager: Claire Brown  
Staffing Manager: Tom

### Schedule Candidate for an Interview

You can assign competencies for interviewers to assess. Click next to each competency under the interviewer who should evaluate the competency. You can assign the same competency to more than one interviewer, and you do not have to assign every competency.

Competencies	Jeff Durscher	Tom Porter
Influence	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Initiative	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Results Orientation	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Service Orientation	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Teamwork	<input type="checkbox"/>	<input checked="" type="checkbox"/>

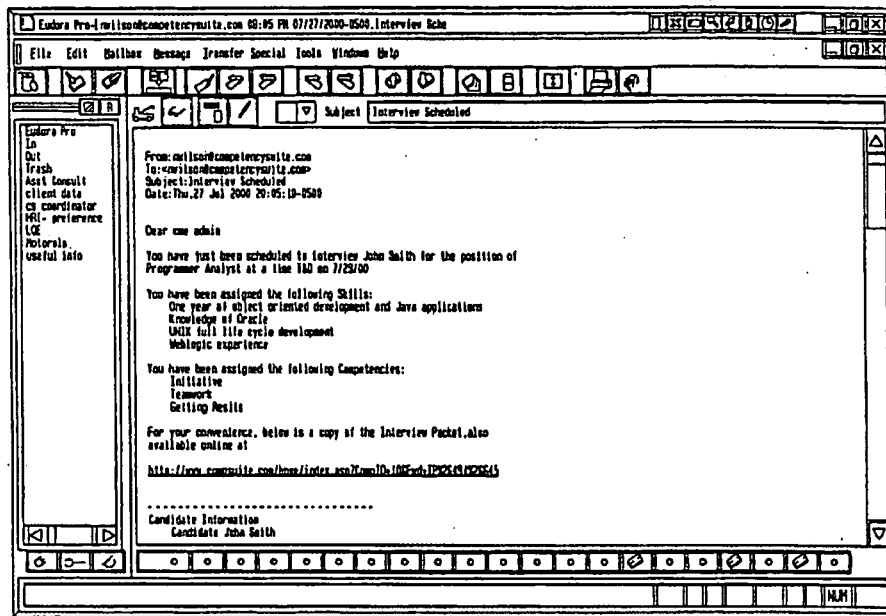
Technical Expert

**NEXT >>**

Done Internet

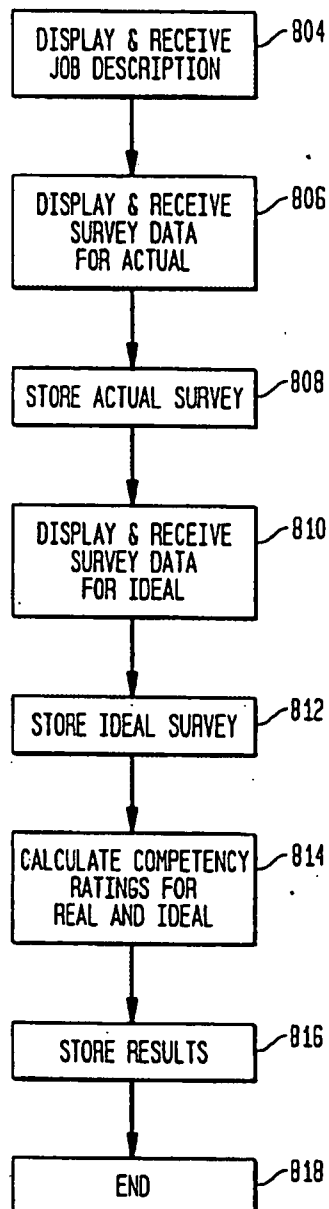
19/24

FIG. 19



20/24

FIG. 20

800

21/24

FIG. 21

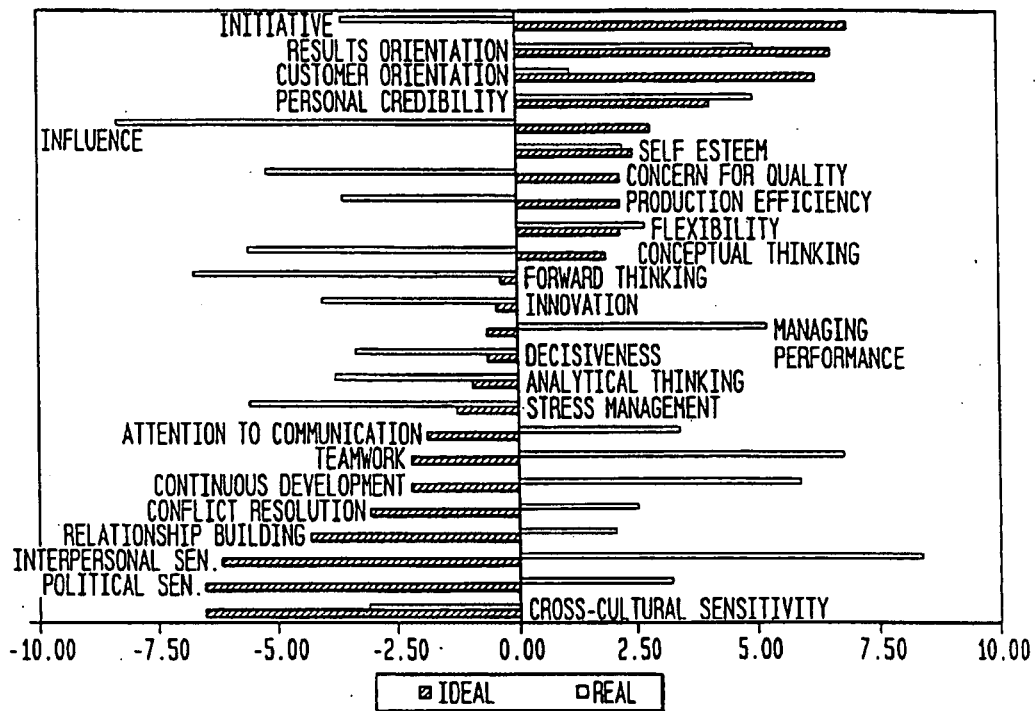
1<sup>st</sup> 2<sup>nd</sup> PEOPLE IN MY BUSINESS UNIT...

<input checked="" type="checkbox"/> <input type="checkbox"/> QUICKLY IDENTIFY KEY OR UNDERLYING ISSUES <input type="checkbox"/> <input type="checkbox"/> PERSIST IN THE FACE OF DIFFICULTIES <input type="checkbox"/> <input checked="" type="checkbox"/> UNDERSTAND THE ORGANIZATIONAL STRUCTURE	1
<input type="checkbox"/> <input type="checkbox"/> SET GOALS FREQUENTLY <input type="checkbox"/> <input type="checkbox"/> ARE AWARE OF OTHERS' CONCERNS AND FEELINGS <input type="checkbox"/> <input type="checkbox"/> MAINTAIN SELF-CONTROL UNDER MODERATE PRESSURE	2
<input type="checkbox"/> <input type="checkbox"/> ASK, "HOW CAN WE DO IT BETTER?" <input type="checkbox"/> <input type="checkbox"/> MEASURE PERFORMANCE AGAINST OBJECTIVES <input type="checkbox"/> <input type="checkbox"/> ARE GOOD AT BUILDING STRONG RELATIONSHIPS	3
<input type="checkbox"/> <input type="checkbox"/> ELICIT FEEDBACK FROM CUSTOMERS <input type="checkbox"/> <input type="checkbox"/> OVERCOME RESISTANCE AND OBJECTIONS WELL <input type="checkbox"/> <input type="checkbox"/> THOROUGHLY AND COMPLETELY RESOLVE CONFLICTS	4



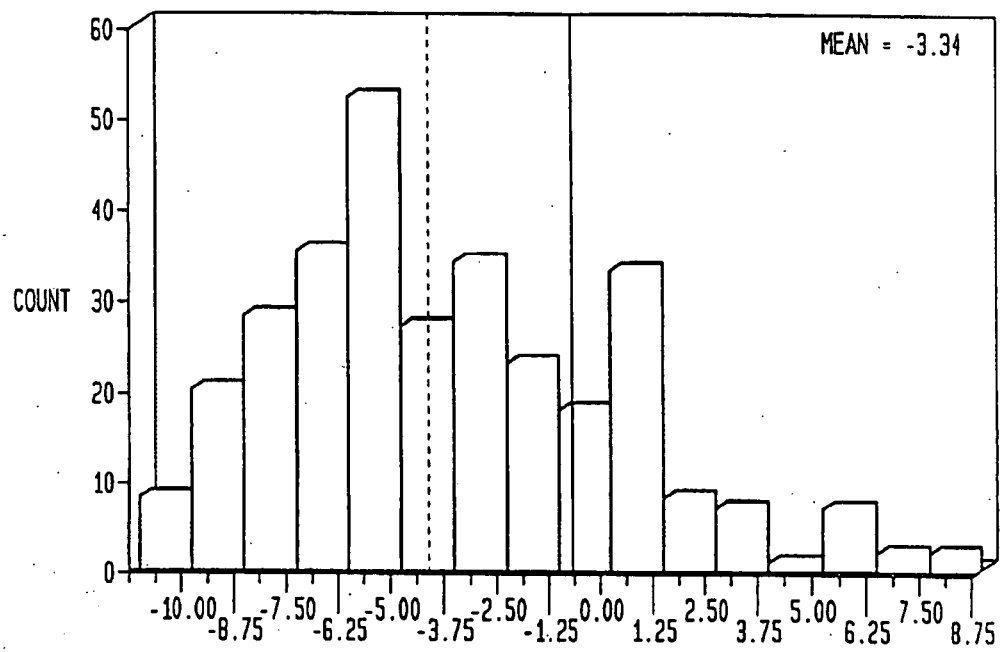
22/24

FIG. 22



23/24

FIG. 23



24/24

FIG. 24

OVERVIEW PLANNING TRACKING **APPRAISAL**

**Appraisal Information**

Employee Name: Mary Sample Initial Assessment  
 Manager: Sal Williams  
 Job Classification: Manager Appraisal Due Date: 12/31/2009  
 Appraisal Status: In Progress  
 Comment Status: In Progress

**Enter Overall Performance Assessment**

Overall Performance Quality: Choose Overall Performance Level Here ▾  
 Comments:  ▴ ▾

Quarterly Performance Within the Position in the Organization: Choose Which Quarter ▾  
 Comments:  ▴ ▾

Promotion Potential Quality: Choose Level of Potential Here ▾  
 Comments:  ▴ ▾

When Ready for Promotion: Choose When ▾  
 Comments:  ▴ ▾

Next Step Should be a Promotion or Lateral Move: Choose which is most appropriate ▾  
 Comments:  ▴ ▾

**Competencies to Improve to be Promotable**

Ranking	Developmental Competency
1	Understands & Grows the Business
2	Service Orientation
<a href="#">Edit Developmental Competencies</a>	

**Potential Next Positions**

Lateral/Promotion	Potential Next Position
Lateral	Product Manager
Promotion	Senior Sales Representative

[Select Potential Next Position](#)

Return to previous screen(Cancel any changes)

120